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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Bruce Eisen et al.  
Assignee: User Trends, Inc.  
Title: Electronically Distributing Promotional And Advertising Material  
Based Upon Consumer Internet Usage  
Serial No.: 09/379,167 Filing Date: 08/23/99  
Examiner: John L. Young Group Art Unit: 2162  
Docket No.: M-7729 US

Newport Beach, California

April 16, 2003

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COMMISSIONER FOR PATENTS  
Washington, D. C. 20231

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Dear Sir:

Transmitted herewith are the following documents in the above-identified application.

1. Declaration of Bruce Eisen (Original)

A copy of same was forwarded to the Examiner via fax.

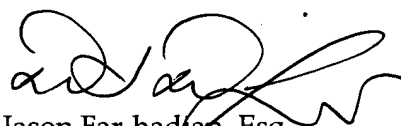
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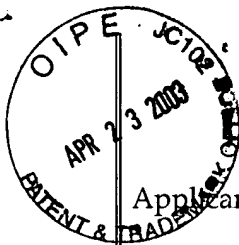
  
Attorney for Applicant(s)

4.16.03  
Date of Signature

Respectfully submitted,

  
F. Jason Far-hadian, Esq.  
Attorney for Applicant(s)  
Reg. No. 42,523

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*Patricia Lewis*  
*#27/Declar.*  
*4-30-03*

Assistant Commissioner of Patents  
Washington, D.C. 20231

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DECLARATION OF BRUCE EISEN

I, Bruce Eisen, the undersigned declare as follows:

1. I am the President and CEO of UserTrends corporation. UserTrends is a privately held company headquartered in Los Angeles, California, which has developed proprietary e-mail marketing personalization solutions for both traditional and online retailers.
2. I have been in the email marketing industry for approximately four years. In my capacity as the President and CEO of UserTrends, I make decisions involving product development, market research, business models and strategies as well as determining the vision and direction of UserTrends both financially and in product marketing. Based on my background and experience in the industry, the scope of my duties as the President and CEO of UserTrends, my personal experience with UserTrends technology, and my knowledge of other technologies in the email marketing industry, I provide you the following professional opinion.
3. UserTrends data collection tools help companies learn about and precisely target individual customer interests. These solutions enable marketers to generate higher response rates to promotions, save on marketing costs, and increase sales and profits---all, while building a loyal customer base.

4. UserTrends' technology is different from cookie profiling and other email consumer profiling technologies for the following reasons: (1) UserTrends' technology accurately profiles a particular individual's interests and preferences by focusing on a known identifier associated with that particular individual, rather than using unanimous identifying means (i.e., a cookie) typically associated with a computer used by the individual, (2) UserTrends' technology does not require storage of a unique identifier on the client computer at any time and therefore does not require use of a certain "cookie handling feature" provided in a browsing software, (3) UserTrends' technology does not require authorized access to the client computer to retrieve information in a cookie file, (4) because of the above advantages implementation of UserTrends' technology requires substantially less resources and no or minimal customization and is substantially less expensive, and (5) UserTrends' technology does not burden the targeted audience to go through a lengthy or inconvenient registration process.

5. Competing electronic consumer profiling technologies generally capture individual data via an unfriendly registration process or by requiring a visitor logging in to the site or making a purchase. The e-marketing industry has generally used such data for mass direct marketing campaigns. In the case of data collected through a lengthy registration process, which only reveals a consumer's interest at a *particular moment* in time, aggregate profiling is usually necessary to determine what promotions to send the consumer.

6. Various competing profiling methods and their disadvantages when compared to UserTrends' technology are provided below:

Purchase Profiling – While purchase profiling is an accurate way of determining one interest of a customer, it isn't able to relate the customer's interests with other products they looked at but did not purchase. UserTrends' technology doesn't require a purchase or input of sensitive financial information to collect behavior data.

Registration Profiling – This requires individuals to take the time to fill out a long survey to provide marketers with some data regarding their particular interests. Unfortunately, the accuracy and reliability of such collected data are often questionable. These surveys can also often fail to weigh customer interests and only represent interests at one remote

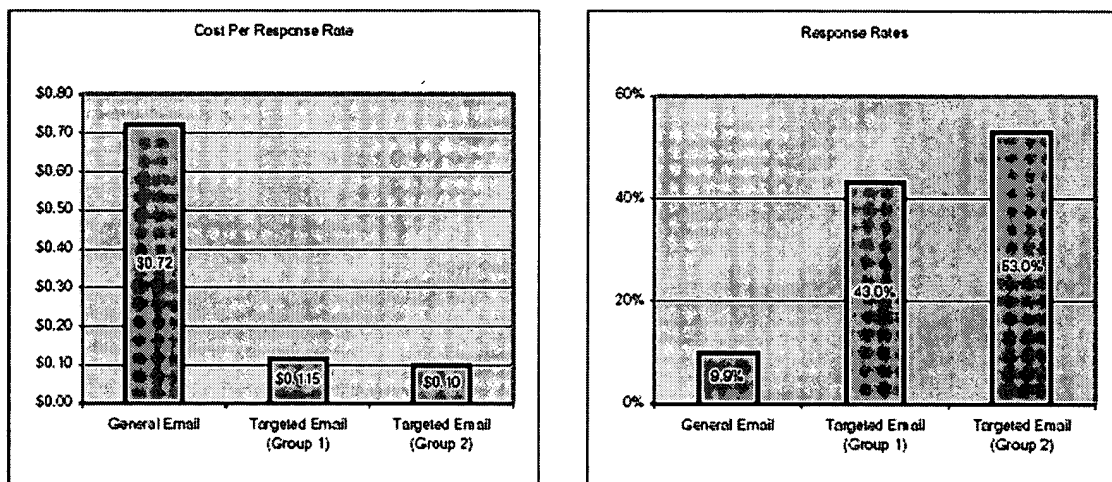
instance—although interests change, registrations remain the same. UserTrends' technology does not require a burdensome registration and allows updating users' interest data based on each individual user's activities on various web pages.

Cookie Profiling – Although many websites employ cookie technology to capture some group and individual data, the identity of the website user remains anonymous. This is because a cookie can be only associated with a computer system and not an individual. Those who regard cookies as invasive erase them or block a web server from storing cookies on their computers. This makes it difficult, if not impossible, for marketers to acquire a consistent and individual profile. Without the need for cookies or the need for accessing client computer, UserTrends' technology collects, identifies, and tracks individual data transparently for profiling and marketing purposes.

7. In particular, cookie profiling technology requires modification and customization of websites so that web servers can successfully access and store a cookie on an end user's computer. Further, customization and modifications are required to accommodate the cookie handling features of various browser applications used by an end user so that the cookie profiling technology could work effectively across all systems and platforms. Customization of each website or web server is associated with high professional service fees and requires more sophisticated computing resources (e.g., software and hardware).
8. UserTrends' technology simply relies on preexisting email-associated resources and uses an email campaign that does not rely on customized web sites, sophisticated web servers, cookies or compatibility with cookie handling features of various browsers to collect highly individualized data. All that is required is an individual's email address and the individual's capability to receive email. The simplicity of UserTrends' technology provides a very efficient profiling technology that has convinced many UserTrends' clients to abandon other costly methodologies and solutions used previously.
9. The data collected via a cookie profiling technology cannot be directly associated with a particular user or email because a cookie profiling technology only provides information about the computer used and not the particular user. Where more than one individual uses the same

computer, or where an individual uses more than one computer, cookie profiling technology does not provide accurate behavior patterns that are so valuable for targeted marketing.

10. UserTrends' technology allows association of an email campaign data to each individual's email address and does not depend on anonymous data (i.e., data that provides an association of behavior to a specific computer rather than to an individual). Our studies have shown that as a direct result of using Usertrands' technology higher response rates and conversion rates have been achieved from email campaigns by our clients over time as illustrated in the following charts.



11. Other email marketers have failed in targeting promotions to demonstrated web-site behavior down to the individual and therefore cannot accurately individualize the result of the information gathered from monitoring user movement on the Internet. UserTrends' technology addresses this long-felt need to solve the above deficiencies and problems. Utilizing UserTrends' technology targeted email promotions to individuals can be achieved, instead of executing mass marketing campaigns or marketing to large groups.

12. Utilizing UserTrends' technology has reduced professional service requirements of UserTrends' clients by more than 50%. This cost saving and efficiency in particular is due to ease of implementation and use of the Usertrands' technology because it does not require special "customization" of server systems and website servers that other cookie or registration profiling technologies require.

13. UserTrends has negotiated and is currently negotiating licensing arrangements with a number of current clients and other email marketing vendors to license UserTrends' proprietary technology. Majority of the license agreements are to vendors who "resell" the technology to their clients. Cable and Wireless (CWP), Xpedit (PTEK), Boldfish, and eContacts are among the vendors who have used UserTrends technology and have licensed or are considering licensing the technology. Many clients of these vendors have already used UserTrends' technology. These clients include HP, Compaq, Hawaiian Airlines, One World Networks, and CarrierPath.

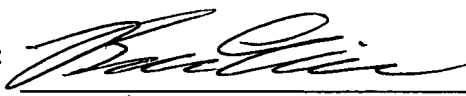
14. The above information provides objective evidence of unexpected results, commercial success, the ability to meet a long-felt need where others have failed, and other factual evidence in relation to UserTrends' technology, such as licensing activities. This evidence when considered collectively indicates that UserTrends technology has been used to provide a distinct and novel solution to overcome an insoluble problem associated with the older electronic profiling technologies discussed above.

15. I hereby declare that all statements made herein are of my own knowledge and true, and that all said statements are made on information and belief and are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code,<sup>1</sup> and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Date: November 14, 2002

By:

  
CEO, USERTRENDS

<sup>1</sup> (a) Except as otherwise provided in this section, whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully -

(1) falsifies, conceals, or covers up by any trick, scheme, or device a material fact;

(2) makes any materially false, fictitious, or fraudulent statement or representation; or

(3) makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under this title or imprisoned not more than 5 years, or both.

(b) Subsection (a) does not apply to a party to a judicial proceeding, or that party's counsel, for statements, representations, writings or documents submitted by such party or counsel to a judge or magistrate in that proceeding.

(c) With respect to any matter within the jurisdiction of the legislative branch, subsection (a) shall apply only to -

(1) administrative matters, including a claim for payment, a matter related to the procurement of property or services, personnel or employment practices, or support services, or a document required by law, rule, or regulation to be submitted to the Congress or any office or officer within the legislative branch; or

(2) any investigation or review, conducted pursuant to the authority of any committee, subcommittee, commission or office of the Congress, consistent with applicable rules of the House or Senate.

Bruce Eisen

1 AI	CBT AG DOW	675	500	500	500
1 C-	CBOT CORN	540	400	400	400
1 NG	CBT 5YR SWAP	1,350	1,000	1,000	1,000
1 NI	CBR 10Y SWAP	2,025	1,500	1,500	1,500
1 O-	CBOT OATS	675	500	500	500
1 S-	CBOT SOYBEANS	1,147	850	850	850
1 S-	CBOT SOYBEANS	607	450	450	450
1 S-	CBOT SOYBEANS	1,147	850	850	850
1 W-	CBOT WHEAT	1,687	1,250	1,250	1,250
1 W-	CBOT WHEAT	1,147	850	850	850
1 YE	CBT MINI ED	337	250	250	250
1 YG	CBT MN NY GOLD	270	200	200	200
1 YH	CBT MINI TBND	1,350	1,000	1,000	1,000
1 YI	CBT MN NY SILV	202	150	150	150
1 YJ	CBT MINI DOW	1,210	896	896	896
1 YM	CBT MINI \$5 DJ	2,700	2,000	2,000	2,000
1 YN	CBT MIN 10Y TN	877	650	650	650
1	6 CBT BEAN MEAL	675	500	500	500
1	7 CBT BEAN OIL	675	500	500	500
1	11 DOW AVG INDEX	6,048	4,480	4,480	4,480
1	14 BOT RGH RICE	540	400	400	400
1	17 CBT T-BONDS	2,700	2,000	2,000	2,000
1 2F	CBT 10Y AGENCY	2,025	1,500	1,500	1,500
1	21 CBT TNOTE 10Y	1,755	1,300	1,300	1,300
1	25 CBT TNOTE 5Y	1,350	1,000	1,000	1,000
1	26 CBT TNOTE 2Y	1,215	900	900	900
1	41 CBT INT RT 30D	540	400	400	400
1	41 CBT INT RT 30D	449	333	333	333
1	42 CBT MUINI INDX	1,890	1,400	1,400	1,400
2 8D	CME OS BOARD	170	170	170	170
2 8Z	CME BENZENE	2,700	2,000	2,000	2,000
2 81	CME SW OSB	755	755	755	755
2 DA	CME FLUID MILK	675	500	500	500
2 DA	CME FLUID MILK	945	700	700	700
2 DB	S CME BUTTER	2,160	1,600	1,600	1,600
2 DB	CME BUTTER	1,890	1,400	1,400	1,400
2 DC	CHED CHEESE	690	690	690	690
2 DK	CME CL IV MILK	675	500	500	500
2 DK	CME CL IV MILK	945	700	700	700

[illegible]



2	FD	NEW FLUID MILK	199	199	199	199
2	GI	CME GOLDMAN	2,100	1,400	1,400	1,400
2	JQ	CME MID BFP	337	250	250	250
2	JQ	CME MID BFP	472	350	350	350
2	LB	CME REV LUMBER	1,500	1,000	1,000	1,000
2	LN	CME LEAN HOGS	1,080	800	800	800
2	MX	CME MXD XYLENE	2,700	2,000	2,000	2,000
2	NF	CME NFD MILK	540	400	400	400
2	48	CME CATTLE	675	500	500	500
2	56	CME PORK BEL	1,620	1,200	1,200	1,200
2	62	CME FDR CATTLE	1,012	750	750	750
3	MB	IMCE SOYBEANS	229	170	170	170
3	MC	IMCE CORN	108	80	80	80
3	MF	IMESL LT CRUDE	2,180	1,600	1,600	1,600
3	MW	IMCE WHEAT	337	250	250	250
3	MI	IMESL IL WTRWAY	229	170	170	170
4	AL	CMX ALUMINUM	4,050	3,000	3,000	3,000
4	HG	CMX HG COPPER	1,080	800	800	800
4	37	CMX GOLD	1,350	1,000	1,000	1,000
4	39	CMX SILVER	1,350	1,000	1,000	1,000
5	EB	LIF EURO 100	1,350	1,000	1,000	1,000
5	EH	LIF EURO BUND	1,500	1,500	1,500	1,500
5	EL	LIF E-YEN LIBR	1,250	1,250	1,250	1,250
5	ES	LIF EUROSTARS	37,500	37,500	37,500	37,500
5	EU	LIF E-TOP 100	2,000	2,000	2,000	2,000
5	EV	LIF E-TOP 300	3,600	3,600	3,600	3,600
5	EW	LIF ETP 300-UK	1,500	1,500	1,500	1,500
5	FS	LIF MINI FTSE	1,500	1,500	1,500	1,500
5	FT	NEW FTSE 100	3,000	3,000	3,000	3,000
5	LM	LIF 2Y SWAPNT	3,000	3,000	3,000	3,000
5	LN	LIF 5Y SWAPNT	300	300	300	300
5	ME	LIF MSC1 EURO	1,000	1,000	1,000	1,000
5	MP	LIF MSC1 PANEU	1,200	1,200	1,200	1,200
5	PH	LIF LONG GILT	2,496	2,496	2,496	2,496
5	RH	LIF 3M STG IR	1,500	1,500	1,500	1,500
5	RJ	LIF 3M EURO SF	250	250	250	250
5	RK	LIF 3M EURO SF	500	500	500	500
5	RN	LIF JGB	550	550	550	550
5	RV	LIF JGB	1,750,000	1,750,000	1,750,000	1,750,000

13	RZ	S	FINEX EURO/SF	1,330	1,000	1,000	1,000
13	RZ	S	FINEX EURO/SF	1,330	1,000	1,000	1,000
13	SS	S	B PND/S FRANC	3,591	2,700	2,700	2,700
13	SS	S	B PND/S FRANC	3,591	2,700	2,700	2,700
13	SY	S	B PND/S YEN	532,000	400,000	400,000	400,000
13	SY	S	B PND/S YEN	532,000	400,000	400,000	400,000
13	TK	S	NYFE TECH INDX	3,060	3,060	3,060	3,060
13	XD	S	NYC USD IDX	1,330	1,000	1,000	1,000
13	XD	S	NYC USD IDX	1,330	1,000	1,000	1,000
13	YA	S	FINEX AD/JY	266,000	200,000	200,000	200,000
13	YA	S	FINEX AD/JY	266,000	200,000	200,000	200,000
13	YC	S	US \$/CAN \$	3,990	3,000	3,000	3,000
13	YC	S	US \$/CAN \$	3,990	3,000	3,000	3,000
13	YF	S	US \$/S-FRANC	4,788	3,800	3,600	3,600
13	YF	S	US \$/S-FRANC	4,788	3,800	3,600	3,600
13	YL	S	LARGE CMP IDX	49,200	49,200	49,200	49,200
13	YL	S	LARGE CMP IDX	49,200	49,200	49,200	49,200
13	YP	S	BRT PD/US \$	2,660	2,000	2,000	2,000
13	YP	S	BRT PD/US \$	2,660	2,000	2,000	2,000
13	YS	S	NYF SM CP IDX	1,000	1,000	1,000	1,000
13	YS	S	NYF SM CP IDX	1,000	1,000	1,000	1,000
13	YX	S	NYF NYSE INDEX	20,000	20,000	20,000	20,000
13	YX	S	NYF NYSE INDEX	20,000	20,000	20,000	20,000
13	YX	S	NYF NYSE INDEX	6,120	6,120	6,120	6,120
13	YX	S	NYF NYSE INDEX	6,120	6,120	6,120	6,120
13	YV	S	US \$/JAP YEN	465,500	350,000	350,000	350,000
13	YV	S	US \$/JAP YEN	465,500	350,000	350,000	350,000
13	ZR	S	US\$/SAF RAND	33,250	25,000	25,000	25,000
13	ZR	S	US\$/SAF RAND	33,250	25,000	25,000	25,000
13	ZX	S	NEW ZEAL\$/US\$	1,729	1,300	1,300	1,300
13	ZX	S	NEW ZEAL\$/US\$	1,729	1,300	1,300	1,300
13	ZY	S	FINEX SF/JY	399,000	300,000	300,000	300,000
13	ZY	S	FINEX SF/JY	399,000	300,000	300,000	300,000
13	ZY	S	FINEX SF/JY	399,000	300,000	300,000	300,000
13	28	S	NYC COTTON	1,050	750	750	750
13	28	S	NYC COTTON	1,050	750	750	750
13	96	S	NYC FRZN O J	695	497	350	350
13	96	S	NYC FRZN O J	695	497	350	350
14	CD	S	LDN COFFEE RO	200	200	200	200
14	CD	S	LDN COFFEE RO	200	200	200	200
14	LA	S	LDN COCOA	500	500	500	500
14	LA	S	LDN COCOA	500	500	500	500
14	LB	S	LDN EEC BARLEY	150	150	150	150